

## OPEN ACCESS POLICY

### Purpose and Context

The Open Access policy is designed to ensure that the University of Huddersfield meets the requirements of the next Research Excellence Framework (REF) and the requirements of the RCUK Mandate for Open Access. The University's OA policy came into effect on 1 May 2015.

### Scope

This policy applies to all staff including academics, staff and students.

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## 1 Introduction

- 1.1 Research Councils UK, The Wellcome Trust, the European Commission and other agencies now demand that authors of published funded research make their research output freely and openly available. This must be done either through publication routes that offer Open Access or through an Open Access repository in compliance with the funders' guidelines. The mandates primarily affect peer reviewed journal articles and conference papers.
- 1.2 Failure to comply with these policies may result in funders withholding final grant payment or excluding non-compliant authors from further funding proposal submissions.
- 1.3 HEFCE has stated that journal articles and conference proceedings must be available in an open-access form to be eligible for the next Research Excellence Framework (REF2021).
- 1.4 Funders such as RCUK and the Wellcome Trust additionally expect that the data which underpin the published research will be made openly available with as few restrictions as possible. RCUK require information on how the data can be accessed to be included within the associated published work. Further information on the curation of such research data is covered in the University of Huddersfield's Research Data Management Policy.

## 2 Possible Open Access routes to publishing

- 2.1 The Green Route – delivered primarily via self-archiving in an online repository such as Pure. The output that is deposited is the “author accepted version” that is the final author version after peer review and editors comments but before publisher typesetting. In some cases the final published form is allowed by the publisher.
- 2.2 The Gold Route – delivered by journals regardless of the journal's business model. Gold open access may require the payment of up front article processing charges

(APCs) in order to cover the costs of publishing in an open access or hybrid journal so that peer reviewed articles then appear online and can be accessed immediately for free.

### **3 Open Access Policy at the University of Huddersfield**

- 3.1 The overriding principle of the University of Huddersfield's Open Access Policy is that academics, researchers, staff and students should be free to publish in where they believe is the most appropriate place whilst complying with any requirements of their funding
- 3.2 The University of Huddersfield recommends and supports Open Access to disseminate our research outputs as widely as possible. The University supports both Gold and Green Open Access. The Green Route provides Open Access and compliance at a modest cost and will meet the needs of most researchers
- 3.3 The University Repository Pure is maintained as a permanent and secure online archive from 1 December 2017. It will provide a single point of public access to electronic copies of peer-reviewed journal articles and conference proceedings.
- 3.4 The University repository Eprints will now become an historical archive repository to show compliance with Open Access requirements prior to the 1 December 2017.
- 3.5 The University (and/or Schools) will support the Gold Route to Open Access (which may involve paying Article Processing Charges or APCs) where this route is required by the funding body. It is noted, for example, that RCUK demands the Gold Route where the publishing journal offers it.
- 3.6 Schools may decide to publish some articles as gold open access when this is not a requirement of the funder. Schools will agree criteria for this process and nominate a member of staff to make the decisions.

### **4 Implementation of the Open Access Policy**

- 4.1 With effect from 1 April 2016, it is a University requirement that all academics, researchers, staff and students, subject to publishers' restrictions, deposit the final author version (refereed, amended and accepted versions) of their peer-reviewed journal articles and peer-reviewed conference articles in the University of Huddersfield. Where publishers allow, the final published version of the research output should be deposited.
- 4.2 Authors of monographs, book chapters and other published research output are also encouraged to archive their output in the University Repository, subject to publishers' restrictions but this is not a requirement of this policy.
- 4.3 All peer reviewed journal articles and conference papers should be submitted to Pure at the point at which they are accepted, and no later than 3 months of that date.

- 4.4 A standard institution affiliation, "University of Huddersfield" should be used in all articles and papers, and authors should use an ORCID id whenever possible.
- 4.5 The source of funding, including grant code if appropriate, should be acknowledged in the paper if required by the funder (eg RCUK).
- 4.6 A statement about the location of any research data and how to access it should be included in the paper if required by the funder (eg RCUK).
- 4.7 If an embargo or restricted access is necessary for commercial or other reasons authors must notify Repository staff.
- 4.8 The Open Access Team within the library will work with authors to ensure compliance with the Open Access policies of funding agencies and other bodies.
- 4.9 Computing and Library Services will manage the processing of APC payments and the RCUK block grant to support Gold Open Access compliancy for Research Council funded project outputs.

<b>POLICY SIGN-OFF AND OWNERSHIP DETAILS</b>	
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<b>Compliance Checks:</b>	Audit checks on research publication OA compliancy via Pure system
<b>Related Policies/Procedures:</b>	Research Data Management Policy.

<b>REVISION HISTORY</b>			
<b>Version</b>	<b>Date</b>	<b>Revision description/Summary of changes</b>	<b>Author</b>
V2.0	Dec 2017	Major redraft (approval required)	Kirsty Taylor
V1.0	Oct 2014	Original Draft (approval required)	Bob Cywinski